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01-08-02
PTO/SB/05 (11-00)
Approved for use through 10/31/2002. OMB 0651-0032
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**UTILITY
PATENT APPLICATION
TRANSMITTAL**

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. 42390P11957

First Inventor Wen-Shan Wang, et al.

Title PROGRESSIVE TWO-DIMENSIONAL (2D) PYRAMID FILTER

Express Mail Label No. EL034436355US

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents

1. Fee Transmittal Form (e.g., PTO/SB/17)
(Submit an original and a duplicate for fee processing)

2. Applicant claims small entity status.
See 37 CFR 1.27.

3. Specification [Total Pages 23]

- Descriptive title of the Invention
- Cross References to Related Applications
- Statement Regarding Fed sponsored R & D
- Reference to sequence listing, a table, or a computer program listing appendix
- Background of the Invention
- Brief Summary of the Invention
- Brief Description of the Drawings (if filed)
- Detailed Description
- Claim(s)
- Abstract of the Disclosure

4. Drawing(s) (35 U.S.C. 113) [Total Sheets 3]

5. Oath or Declaration [Total Pages]

- a. Newly executed (original or copy)
- b. Copy from a prior application (37 C.F.R. § 1.63(d))
(for continuation/divisional with Box 18 completed)
 - i. DELETION OF INVENTOR(S)
Signed statement attached deleting inventor(s)
named in the prior application, see 37 CFR
1.63(d)(2) and 1.33(b)

6. Application Data Sheet. See 37 CFR 1.76

Assistant Commissioner for Patents
ADDRESS TO: Box Patent Application
Washington, DC 20231

7. CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)

8. Nucleotide and/or Amino Acid Sequence Submission
(if applicable, all necessary)

- a. Computer Readable Form (CRF)
- b. Specification Sequence Listing on:
 - i. CD-ROM or CD-R (2 copies); or
 - ii. paper
- c. Statements verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

9. Assignment Papers (cover sheet & document(s))

10. 37 C.F.R. § 3.73(b) Statement Power of Attorney
(when there is an assignee)

11. English Translation Document (if applicable)

12. Information Disclosure Statement (IDS)/PTO-1449 Copies of IDS Citations

13. Preliminary Amendment

14. Return Receipt Postcard (MPEP 503)
(Should be specifically itemized)

15. Certified Copy of Priority Document(s)
(if foreign priority is claimed)

16. Request and Certification under 35 U.S.C. 122 (b)(2)(B)(i).
Applicant must attach form PTO/SB/35 or its equivalent.

17. Other: _____

18. If a CONTINUATING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment:

Continuation Divisional Continuation-in-part (CIP) of prior application No: _____

Prior application Information: Examiner _____ Group/Art Unit: _____

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

18. CORRESPONDENCE ADDRESS



08791

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| | | | |
|-------------------|---------------------|-----------------------------------|----------|
| Name (Print/Type) | Gregory D. Caldwell | Registration No. (Attorney/Agent) | 39,926 |
| Signature | | Date | 12/28/01 |

Burden Hour Statement This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U S Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS SEND TO Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231

FEE TRANSMITTAL for FY 2000

Patent fees are subject to annual revision

TOTAL AMOUNT OF PAYMENT (\$)

740.00

Complete if Known

| | |
|----------------------|---------------|
| Application Number | |
| Filing Date | |
| First Named Inventor | Wen-Shan Wang |
| Examiner Name | |
| Group/Art Unit | |
| Attorney Docket No. | 42390P11957 |

METHOD OF PAYMENT (check one)

1. The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number Deposit Account Name Charge Any Additional Fee(s) Required
Under 37 CFR §§ 1.16, 1.17, 1.18 and 1.20 Applicant claims small entity status
See 37 CFR 1.27.

2. Payment Enclosed:

 Check Credit card Money Order Other

FEE CALCULATION

1. BASIC FILING FEE

| Large Entity | | Small Entity | | Fee Description | Fee Paid |
|--------------|----------|--------------|----------|------------------------|-------------------------------------|
| Fee Code | Fee (\$) | Fee Code | Fee (\$) | | |
| 101 | 740 | 201 | 370 | Utility filing fee | <input type="text" value="740.00"/> |
| 106 | 330 | 206 | 165 | Design filing fee | <input type="text"/> |
| 107 | 510 | 207 | 255 | Plant filing fee | <input type="text"/> |
| 108 | 740 | 208 | 370 | Reissue filing fee | <input type="text"/> |
| 114 | 160 | 214 | 80 | Provisional filing fee | <input type="text"/> |
| SUBTOTAL (1) | | (\$) | | 740.00 | |

2. EXTRA CLAIM FEES

| | | Extra Claims | Fee from below | |
|--------------------|---------------------------------|---|--------------------------------------|---------------------------------------|
| Total Claims | <input type="text" value="20"/> | - 20** = <input type="text" value="0"/> | X <input type="text" value="18.00"/> | = <input type="text" value="\$0.00"/> |
| Independent Claims | <input type="text" value="3"/> | - 3** = <input type="text" value="0"/> | X <input type="text" value="84.00"/> | = <input type="text" value="\$0.00"/> |
| Multiple Dependent | | | | |

Large Entity

| Large Entity | | Small Entity | | Fee Description | Fee Paid |
|--------------|----------|--------------|----------|---|----------|
| Fee Code | Fee (\$) | Fee Code | Fee (\$) | | |
| 103 | 18 | 203 | 9 | Claims in excess of 20 | |
| 102 | 84 | 202 | 42 | Independent claims in excess of 3 | |
| 104 | 280 | 204 | 140 | Multiple Dependent claim, if not paid | |
| 109 | 84 | 209 | 42 | **Reissue independent claims over original patent | |
| 110 | 18 | 210 | 9 | **Reissue claims in excess of 20 and over original patent | |
| SUBTOTAL (2) | | (\$) | | 0.00 | |

**or number previously paid, if greater. For Reissues, see below

3. ADDITIONAL FEE

| Large Entity | Small Entity | Fee Description | Fee Paid |
|---------------------|--------------|---|----------------------|
| Fee Code | Fee (\$) | Fee Code | Fee (\$) |
| 105 | 130 | 205 65 Surcharge - late filing fee or oath | <input type="text"/> |
| 127 | 50 | 227 25 Surcharge - late provisional filing fee or cover sheet | <input type="text"/> |
| 139 | 130 | 139 130 Non-English specification | <input type="text"/> |
| 147 | 2,520 | 147 2,520 For filing a request for <i>ex parte</i> reexamination | <input type="text"/> |
| 112 | 920* | 112 920*Requesting publication of SIR prior to Examiner action | <input type="text"/> |
| 113 | 1,840* | 113 1,840*Requesting publication of SIR after Examiner action | <input type="text"/> |
| 115 | 110 | 215 55 Extension for reply within first month | <input type="text"/> |
| 116 | 400 | 216 200 Extension for reply within second month | <input type="text"/> |
| 117 | 920 | 217 460 Extension for reply within third month | <input type="text"/> |
| 118 | 1,440 | 218 720 Extension for reply within fourth month | <input type="text"/> |
| 128 | 1,960 | 228 980 Extension for reply within fifth month | <input type="text"/> |
| 119 | 320 | 219 160 Notice of Appeal | <input type="text"/> |
| 120 | 320 | 220 160 Filing a brief in support of an appeal | <input type="text"/> |
| 121 | 280 | 221 140 Request for oral hearing | <input type="text"/> |
| 138 | 1,510 | 138 1,510 Petition to institute a public use proceeding | <input type="text"/> |
| 140 | 110 | 240 55 Petition to revive - unavoidable | <input type="text"/> |
| 141 | 1,280 | 241 640 Petition to revive - unintentional | <input type="text"/> |
| 142 | 1,280 | 242 640 Utility issue fee (or reissue) | <input type="text"/> |
| 143 | 460 | 243 230 Design issue fee | <input type="text"/> |
| 144 | 620 | 244 310 Plant issue fee | <input type="text"/> |
| 122 | 130 | 122 130 Petitions to the Commissioner | <input type="text"/> |
| 123 | 50 | 123 50 Prospecting fee under 37 CFR 1.17(q) | <input type="text"/> |
| 126 | 180 | 126 180 Submission of Information Disclosure Stmt | <input type="text"/> |
| 581 | 40 | 581 40 Recording each patent assignment per property (times number of properties) | <input type="text"/> |
| 146 | 740 | 246 370 Filing a submission after final rejection (37 CFR § 1.129(a)) | <input type="text"/> |
| 149 | 740 | 249 370 For each additional invention to be examined (37 CFR § 1.129(b)) | <input type="text"/> |
| 179 | 740 | 279 370 Request for Continued Examination (RCE) | <input type="text"/> |
| 169 | 900 | 169 900 Request for expedited examination of a design application | <input type="text"/> |
| Other fee (specify) | | | <input type="text"/> |
| Other fee (specify) | | | <input type="text"/> |

* Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$)

SUBMITTED BY

Complete (if applicable)

| | | | | | |
|-------------------|---|--------------------------------------|--------|-----------|----------------|
| Name (Print/Type) | Gregory D. Caldwell | Registration No. (Attorney/Agent) | 39,926 | Telephone | (503) 684-6200 |
| Signature |  | | | Date | 12/28/01 |

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